DOCUMENT RESUME

ED 164 592 95 TM 008 103

AUTHOR Madey, Doren; And Others
TITLE A Framework for the Evaluation of the State Capacity Building Program.
INSTITUTION National Testing Service, Inc., Durham, N.C.
SPONS AGENCY National Inst. of Education (DHEW), Washington, D.C. Dissemination and Resources Group.
PUB DATE May 78
CONTRACT 400-76-0166
NOTE 57p.; For related document, see TM 008 065; Several pages may be marginally legible due to light and broken type

EDRS PRICE MF-$0.83 HC-$3.50 Plus Postage.
DESCRIPTORS Data Analysis; Data Collection; *Developmental Programs; Evaluation Criteria; *Evaluation Methods; *Information Dissemination; Information Networks; Information Services; Program Development; *Program Evaluation; *Research Design; *State Programs
IDENTIFIERS *State Capacity Building Program

ABSTRACT

Plans are presented for the overall design of the longitudinal evaluation of the National Institute of Education's State Capacity Building Program. Both the process of developing comprehensive dissemination capacity in state education agencies, and the impact of the capacity building activities will be studied. This report describes the development of the evaluation framework and the information sources used in its development. The questions used to evaluate the program are listed. Those questions to be used in the 1978 data collection and analysis are analyzed separately from those questions which require further design work in 1978. A one-page summary and a three-page chart present an overview of the evaluation. (Author/GDC)

****
* Reproductions supplied by EDRS are the best that can be made *
* from the original document. *
****

ED164592

U.S. DEPARTMENT OF HEALTH, EDUCATION & WELFARE
NATIONAL INSTITUTE OF EDUCATION

THIS DOCUMENT HAS BEEN REPRODUCED EXACTLY AS RECEIVED FROM THE PERSON OR ORGANIZATION ORIGINATING IT. POINTS OF VIEW OR OPINIONS STATED DO NOT NECESSARILY REPRESENT OFFICIAL NATIONAL INSTITUTE OF EDUCATION POSITION OR POLICY

A FRAMEWORK FOR THE EVALUATION OF THE STATE CAPACITY BUILDING PROGRAM

NTS RESEARCH CORPORATION
2634 Chapel Hill Blvd.
Durham, North Carolina 27707

"PERMISSION TO REPRODUCE THIS MATERIAL HAS BEEN GRANTED BY

Doris L. Madey

TO THE EDUCATIONAL RESOURCES INFORMATION CENTER (ERIC) AND USERS OF THE ERIC SYSTEM."

Submitted to:

DISSEMINATION AND RESOURCES GROUP
NATIONAL INSTITUTE OF EDUCATION
DEPARTMENT OF HEALTH, EDUCATION AND WELFARE

May 1978

TM008 103

The report presented herein was prepared pursuant to Contract 400-76-0166 with the National Institute of Education, United States Department of Health, Education, and Welfare. Contractors undertaking such projects with government sponsorship are encouraged to express their professional judgment in the conduct of the project. Points of view or opinions do not, therefore, necessarily represent official positions or policies of the National Institute of Education.

PREFACE

As part of its mission to foster improvement of education throughout the country, the National Institute of Education (NIE) is responsible for building "an effective educational research and development system." The State Dissemination Grants Program is a major initiative of NIE to achieve its mission and a part of the larger effort now underway to develop a nationwide dissemination configuration. The State Dissemination Grants Program is designed to improve educational practice by encouraging state education agencies (SEAs) to develop their capacity for gaining access to information resources and to link such information to the needs of educators. The Program is administered by the Information and Communications Branch of the Dissemination and Resources Group in the NIE.

Through the State Dissemination Grants Program, two types of awards are made to SEAs:

- Capacity Building Grants support SEA efforts to build a comprehensive state dissemination capacity. These awards, averaging about $100,000 each, are of one-year duration and potentially renewable for three to five years.

- Special Purpose Grants, averaging $25,000 each, support relatively low-cost, short-term SEA improvement efforts related to building a comprehensive state dissemination capacity. These grants are used to support such SEA activities as initial planning, training of personnel, or the development of specific dissemination resources.

Through the State Dissemination Grants Program, in 1975, ten states were awarded Capacity Building Grants and four states received Special Purpose Grants. In 1975, fourteen Capacity Building Grants and five Special Purpose Grants were awarded. In FY 1977, six additional Capacity Building Grants and at least four more Special Purpose Grants will be awarded. Pending availability of funds, NIE anticipates supporting successive groups of states until all those qualified are included.

In conjunction with the State Dissemination Grants Program, NIE also supports a National Dissemination Leadership Project which promotes communication among all state education agency personnel on dissemination. Each SEA has a representative appointed by the Chief State School Officer. This representative participates in national and regional meetings and in other forms of communication designed to improve the dissemination capacities of all SEAs.

Under the sponsorship of Dissemination and Resources Group (DRG), NTS is conducting a two-phased study of the State Capacity Building Grants Program. The first year design phase was completed in August of 1977; the second phase began in September of 1977 and is intended to extend until six months after the last group of states is funded. The NTS study is designed to evaluate the process of developing a comprehensive dissemination capacity in SEAs and

to assess the Program's impact. The Special Purpose Grants are not included in the NTS evaluation activities since they are only of one year's duration and are not intended to be comprehensive in scope.

The State Capacity Building Program (SCBP) has been defined by broad NIE goals. The Grants Announcements state that establishing a comprehensive dissemination capacity requires three components: a comprehensive set of resources, a means of linking client groups to the resource base, and the leadership and management arrangements which facilitate the provision of services on any problem to all clients. The Grants Announcements also state that the Program is designed to be user-driven, that is, to respond to any information request from any client. States develop their own specific objectives from these broad goals. Time lines are mutually agreed upon by the States and NIE as part of the collaborative effort.

Two overarching questions focus all NTS evaluation activities:

- Is dissemination capacity being built? If so, how?
- Is the State Capacity Building Program having an effect? If so, what is the nature of the effect?

The design phase and first full year of the evaluation concentrate on describing the Program, clarifying the Program's objectives, and testing and refining the instrumentation and data collection procedures; the second and additional years will concentrate more on delineating the impact of the Program in the states and on communicating evaluation results to NIE and the projects for their own improvement.

Phase I of the NTS study has resulted in five reports:

- 1977 State Abstracts contains summaries of twenty-four capacity building projects. Included are the ten SEAs initially funded in 1975 and the fourteen additional projects funded in 1976. The abstracts document dissemination activities in the SEAs as of May 1977.
- Final Design Report of the Evaluation of the State Capacity Building Grants Program is a two-volume report. Volume I contains the proposed designs for the full-scale evaluation. Volume II contains proposed instrumentation.
- Building Capacity in Dissemination: Literature Review was used to inform the design process. The Literature Review consists of two separate, but related, products. The first summarizes dissemination literature, using an organizing framework which parallels that followed in NTS design work. The second product consists of an extensive bibliography and outline of topics covered in the Review. Each entry on the outline is followed by a list of relevant citations.

- State Reports contains extensive documentation on nine of the first states funded through NIE's Capacity Building Grants Program. State Reports documents dissemination activities in nine SEAs as of May 1977.

- A Compendium of Evaluation and Documentation Forms Currently in Use by State Capacity Building Projects is a compilation of selected instrumentation used by the Capacity Building Projects. An accompanying narrative explains the included materials.

This document, A Framework for the Evaluation of State Capacity Building Program, is the third report prepared during Phase II. It contains an organizing framework for the evaluation. The first two reports, Technical Addendum I and Technical Addendum II, were predecessors to the current document.

ACKNOWLEDGEMENTS

We would like to thank NTS colleagues A. Jackson Stenner, J.P. Bailey, Jr., and Charles Mojkowski; NIE associates Ward S. Mason, John Egermeier, Mary Ann Millsap, Charles Haughey, John Coulson, Carnot Nelson, and Naida Bagenstos; Karen Seashore Louis of Abt Associates; Michael Fullan of the Ontario Institute for Studies in Education; and, the project directors of the State Capacity Building Program for their helpful comments and suggestions. None of them bear responsibility, however, for any shortcomings herein.

We would also like to thank NTS staff members Joyce Gourlay, Deborah Parker, Barbara Leonard, and Debbie Ward for their dedicated assistance in producing this report.

Doren L. Madey
Co-Director

Joseph F. Haenn
Co-Director

Michael Everett
Senior Associate

Ernest W. Strang
Senior Associate

CONTENTS

	Page
Preface	i
Acknowledgements	iv
List of Tables	vi
List of Figures	vi
List of Exhibits	vi
I. Introduction	1
II. Developing the Framework for the NTS Evaluation	3
III. The Evaluation Questions for the NTS Evaluation	5
IV. Data Collection and Analysis Procedures for Year 1	10
V. Design Work During Year 1	28
VI. An Overview of the Evaluation	37
References	41

TABLES

		Page
1.	Documents for Evaluation Question A1	19
2.	Service Capacity	20
3.	Client Assessment Package	23
4.	NIE Program Design and Management	24
5.	Data Collection and Analysis Activities for Year 1	25
6.	Design Activities for Year 1	34
7.	Overview of Evaluation Questions and Activities	38

FIGURES

1.	Dissemination Capacity	11
2.	Initial Thoughts on Design for Evaluation Question 2c,d,e	30

EXHIBITS

A.	Evaluation Questions	7

I. INTRODUCTION

The NTS Evaluation of the State Capacity Building Program in Dissemination is designed to evaluate the process of developing a comprehensive dissemination capacity in state education agencies (SEAs) and to assess the impact of the capacity building activities (RFP, NIE-R-76-0016). Two overarching questions provide the anchor point for this evaluation:

- Is dissemination capacity being built? If so, how?
- Is the State Capacity Building Program having an effect? If so, what is the nature of the effect?[1]

The general information needs of the evaluation are expressed in these questions.

In order to conduct a comprehensive and thorough evaluation, there must be an organizing framework that builds upon the information needs expressed, relevant theory, and knowledge of the program. A framework is a necessary step in evaluation design (Stenner, 1974; Scriven, 1974; Stufflebeam, 1974). Its function is to act as a data organizer; it guides the data collection and analysis effort. This report, A Framework for the Evaluation of the State Capacity Building Program, presents the organizing framework for this evaluation.

A data analysis plan will be generated in preparation for the OMB Clearance submission. Included in the data analysis plan will be the hierarchial mapping from the evaluation questions to instrument items, the revised instrumentation, a matrix of collectables which lists data sources by instruments and evaluation questions, and analytical procedures.[2]

---

[1] These questions were stated explicitly at the preliminary activities meeting held with NTS and NIE following award of the contract to design the evaluation of the State Capacity Building Program. They have been slightly restated during subsequent design work (cf. Preliminary Design Report, Chapter 2, March 1977 and Final Design Report, Chapter 2, July 1977).

[2] The data analysis plan and mapping of instrument items will be described in Request for OMB Clearance with Supporting Statement for the Evaluation of the State Capacity Building Program in Dissemination (forthcoming).

This document is divided into six major sections. The first section, this introduction, presents an overview of the report's organization. The second section summarizes the framework development process. Included is a description of those information sources which were integrated in developing the framework. The third section presents the evaluation questions for studying the State Capacity Building Program. The fourth section examines those evaluation questions for which data will be collected and analyzed during year 1. The fifth section focuses on those evaluation questions which require further design work during year 1. The final section presents an overview of the entire evaluative effort.

II. DEVELOPING THE FRAMEWORK FOR THE NTS EVALUATION

Six information sources provided heuristic bases for framework development. The sources and their contributions to framework development are described in this section.

First, a considerable amount of descriptive information was collected during the design phase, particularly from the first cohort of states. Two documents prepared during the design phase provide substantial documentation about the individual projects comprising the State Capacity Building Program. 1977 State Abstracts (Madey, D. L.; Mojkowski, C.; and Strang, E.W.) contains summaries of twenty-four capacity building projects, including the ten SEAs initially funded in 1975 and the fourteen additional projects funded in 1976. State Reports (Madey, D. L.; Mojkowski, C.; and Strang, E. W.) contains more extensive documentation on nine of the first group of states funded through NIE's Capacity Building Program.

Second, additional state visits clarified staff perceptions concerning the perceived differences and similarities among projects. Chapter 11 of State Reports (Madey, D. L.; Mojkowski, C.; and Strang, E.W.) documents differences and similarities among the nine projects remaining in Cohort I.

Third, completion of an expanded literature review characterized the state of the art in dissemination, knowledge production utilization, organizational change theory, educational change models, theories of dispersed organizations, and implementation theory. Building Capacity in Dissemination: Literature Review, (Strang, E. W., 1977) is a general summary of dissemination literature. During the refinement and expansion of the conceptual framework, a broader spectrum of literature was reviewed and incorporated into an earlier draft of this report, The Conceptual Framework for the Evaluation of the State Capacity Building Program, December, 1977.

Fourth, NTS has conducted three workshops during which State personnel reviewed the designs, instrumentation, and data collection plans. Wherever possible, the recommendations of state project directors have been incorporated into the revised framework.

Fifth, experts in the areas of dissemination and implementation have been used as consultants and have contributed to the development of the organizing framework. Individuals consulted during the development of the conceptual framework include Dr. Michael Fullan, Ontario Institute for Studies in Education, and Dr. Karen S. Louis, Abt Associates. In addition, NTS has continued to consult with its Advisory Council during the framework development. Council members include Mr. Richard Brickley, Research and Information Services for Education; Dr. David Clark, Indiana University; Dr. Paul Hood, Far West Laboratory for Educational Research and Development; Dr. Sam Sieber, educational consultant and project director for the Evaluation of the Pilot State Dissemination program (a precursor to this study); and Dr. Paul Sandifer, CEIS Monitor for the current evaluation.

Finally, earlier drafts of this framework were reviewed by the National Institute of Education and suggestions for changes have been incorporated into the final framework. NTS staff met formally with NIE five times to review and modify the framework. NIE colleagues reviewing the framework include Ward S. Mason, John Egermeier, Mary Ann Millsap, Charles Haughey, John Coulson, Carnot Nelson, and Naida Bagenstos. The framework explicated in this document represents the state of the art at this time; it is subject to modifications and revisions as new knowledge becomes available.

III. THE EVALUATION QUESTIONS FOR THE NTS EVALUATION

Two broad questions have guided the development of the NTS framework for the evaluation of the State Capacity Building Program:

- Is dissemination capacity being built? If so, how?
- Is the State Capacity Building Program having an effect? If so, what is the nature of the effect?

To meet the general information needs of the evaluation, more specific evaluation questions were required. The evaluation questions have been formulated in a collaborative effort with NIE, NTS, and the States. The final evaluation questions are presented in Exhibit A.

During the first year of the evaluation, certain questions comprise the focus for the data collection and analysis activities; other evaluation questions are subject to further design work. Thus, substantive work for year 1 is divided into two types: (1) design work and (2) data collection and analysis.

Design work includes additions and revisions in the framework with the specification of variables, construction of initial instruments, specification of respondent groups (and sampling frames as needed), and development of preliminary analysis plans. Design materials will be reviewed by the Advisory Council, the State project directors, and NIE staff. Section V examines those questions which are subject to further design work.

Data collection and analysis includes the revision of existing instruments and construction of new instruments (as needed), preparation of the OMB Forms Clearance package with a data analysis plan, collection of data (including data that do not require OMB Forms Clearance), analysis of data, and preparation of reports. Section IV discusses those questions

which comprise the core of data collection and analysis activities for the first year of the evaluation.

In most cases, data collection and analysis initiated in year one will continue in future years of this evaluation effort; design work in year one will be incorporated into subsequent years of the data collection and analysis work.

The evaluation questions will be examined at three levels: (1) project, (2) SEA, and (3) State. During the first year of the evaluation, the primary focus is the project level. In those cases where the project and the SEA are coterminus, the SEA level will also be included in the first year data collection and analysis effort. First year design work will focus on expanding the levels of investigation so that subsequent data collection and analysis efforts can include an examination of capacity building activities at the SEA and state levels.

Exhibit A. Evaluation Questions

A. IS DISSEMINATION CAPACITY BEING BUILT? IF SO, HOW?

1. What knowledge can be generated regarding the origins, objectives and plans of the capacity building projects?

   a. What are the similarities and differences within and across States in

      - Project plans?
      - Comprehensive state dissemination plans?

   b. How much progress or growth has there been in building capacity

      - Relative to NIE program goals?
      - Relative to project objectives?
      - Relative to a baseline or other previous measure?
      - Relative to a comprehensive state dissemination plan, if applicable?

2. What knowledge can be generated concerning service capacity?

   a. What are the chief contextual elements within service capacity which characterize and differentiate projects? SEAs? States?

   b. What are the chief system characteristics within service capacity which characterize and differentiate projects? SEAs? States?

   c. Into what limited number of types can projects/SEAs/States be clustered on the basis of identified contextual elements within service capacity?

   d. Into what limited number of types can projects/SEAs/States be clustered on the basis of identified system characteristics within service capacity?

   e. On the basis of identified contextual clusters and identified system characteristics clusters, what meaningful models can be derived?

   f. What are the chief output variables within service capacity that characterize and differentiate projects? SEAs? States? Models?

3. What knowledge can be generated concerning user capacity?

   a. What knowledge can be generated concerning potential client capacity?

      (1) Who are the potential clients? (note possible differences between total potential clientele and a more limited clientele that is targeted or designated for a specific purpose or time period.)

      (2) What are the perceptions of potential clients regarding service needs?

      (3) To what extent are potential clients aware of the service capacity of the project? SEA? States?

      (4) To what extent are potential clients knowledgeable of how to access/utilize the service capacity of the project? SEA? State?

   b. What knowledge can be generated concerning actual clientele?

      (1) Who are the actual users of the service capacity of the project? SEA? State?

      (2) What are the actual service capacity needs as expressed in requests of the project? SEA? State?

      (3) To what extent are the clients satisfied with the dissemination services provided by the project? SEA? State?

      (4) In what ways are the services utilized which are provided by the project? SEA? State?

   c. What are the quantitative and qualitative relationships of actual clientele to potential clientele?

4. How good a match is there between service capacity and user capacity?

   a. What are the relationships between service capacity and user capacity?

   b. To what extent are changes in service capacity and user capacity accommodated by changes in the other?

B. IS THE STATE CAPACITY BUILDING PROGRAM HAVING AN EFFECT? IF SO, WHAT IS THE NATURE OF THE EFFECT?

1. What effects are the projects having?

a. What impact is each project having on

- SEA dissemination efforts in education?
- State dissemination efforts? (other education dissemination efforts in the state)

b. What are the similarities and differences across projects in terms of these impacts?

2. Is dissemination capacity being institutionalized so that it can continue to function without external stimulus?

3. What effects are related to the Federal role?

a. What is the impact of different elements of the NIE program design and management on capacity building and institutionalization?

b. What are the changes that should be made to facilitate the building and institutionalization of state capacity?

IV. DATA COLLECTION AND ANALYSIS PROCEDURES FOR YEAR 1

This section explicates the data collection and analysis procedures generated toward answering relevant evaluation questions during year 1. In most instances, data collection and analysis initiated in year 1 will continue in future years of this evaluation effort. Each evaluation question and subquestion is discussed separately and then presented in tabular format with relevant variables and/or sources of information. Then the total data collection and analysis procedures are summarized in tabular format.

A. IS DISSEMINATION CAPACITY BEING BUILT? IF SO, HOW?

Dissemination Capacity has been conceptualized as being comprised of two major components: service capacity and user capacity. That is,

dissemination capacity = service capacity + user capacity

Service Capacity is composed of contextual, system characteristics, and output variables in each of the study domains of leadership/management, information resources, linkages, and clients. User capacity is composed of two major domains: potential clientele and actual clientele. The variables for this domain will be specified during year 1 design work. Although not yet fully defined, user capacity includes such variables as user awareness of existence of resources, knowledge of methods for accessing resources, ability to articulate problem statements clearly, expertise in negotiation skills, and sophistication in using services. Simplistically, the two major components and variable sets for service capacity for a given project are represented in Figure 1.

FIGURE 1 DISSEMINATION CAPACITY

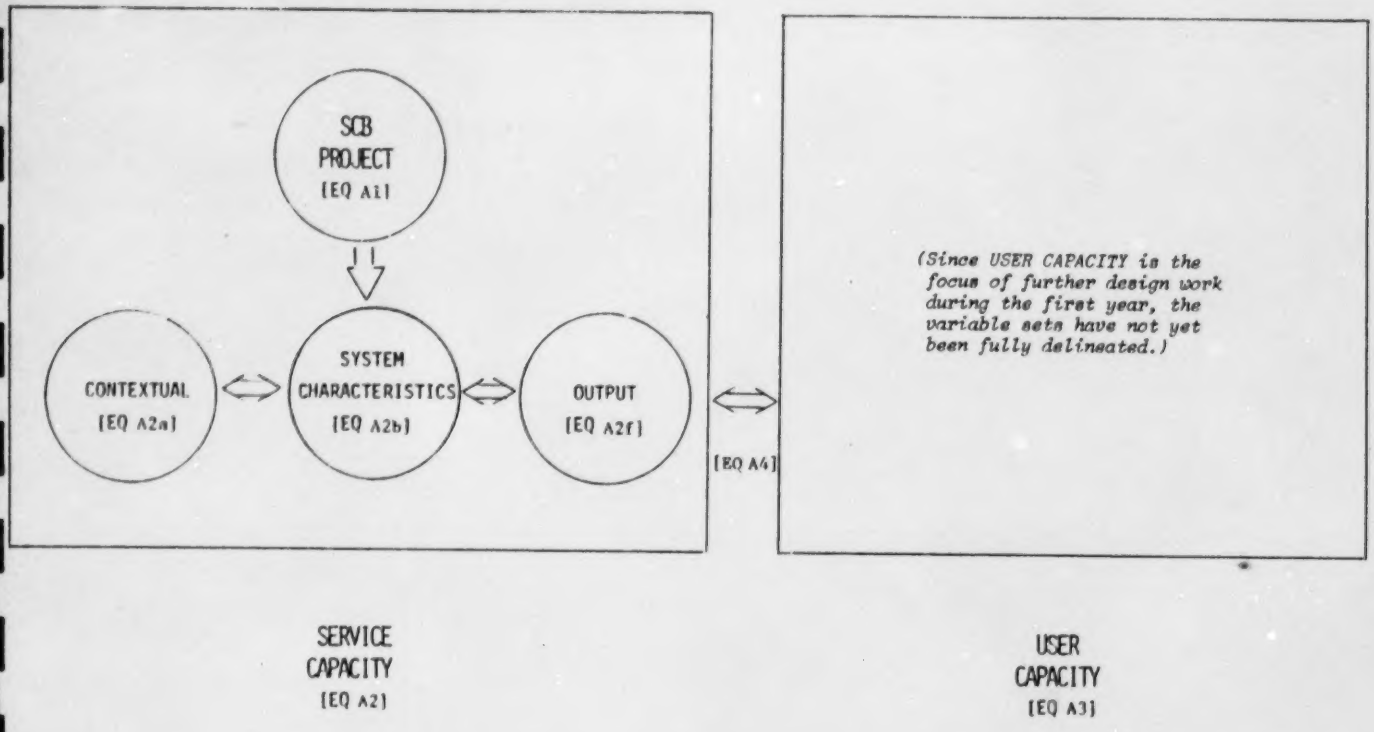


Figure 1 also denotes the focus of each of the four sets of evaluation questions which address the building of dissemination capacity. They are as follows:

[EQA1] What knowledge can be generated regarding the origins, objectives, and plans of the capacity building projects?

[EQA2] What knowledge can be generated concerning service capacity?

[EQA3] What knowledge can be generated concerning user capacity?

[EQA4] How good a match is there between service capacity and user capacity?

Given the longitudinal design of the SCBP evaluation (which is commensurate with overall project development) data collection and analysis during year 1 will primarily focus on service capacity, and be directed toward Evaluation Questions A1 and A2. There will also be some preliminary data collection efforts of a pilot nature concerning user capacity, Evaluation Question A3, during year 1. Section VI of the

report provides an overview of how these data collection and analysis efforts are extended in future years to address all evaluation questions. For year 1, the data collection and analysis procedures presented below are proposed:

A. IS DISSEMINATION CAPACITY BEING BUILT? IF SO, HOW?

EQA1: What knowledge can be generated regarding the origins, objectives, and plans of the capacity building projects?

A1a. What are the similarities and differences within and across States in. . .

- Project plans?
- Comprehensive state dissemination plans?

For each state, the project plan will be compared with the comprehensive state plan, if existing and available. The unavailability of comprehensive state plans will also be reported. In addition cross-state comparisons of project plans and comprehensive state plans will be completed. These will be reported in the first-year evaluation report.

The focus on Evaluation Question A1a during the first year of data collection and analysis, for all cohorts of States, will be at the project level. Data collection and analysis will also occur at the SEA level in those cases where the SEA dissemination effort and the State Capacity Building project are coterminus. "Comprehensive state dissemination plans" for this year refer to agency-wide operational plans for how the SEA will conduct dissemination activities; "project plans" refer to plans for the development and operation of the capacity building project.

A1b. How much <u>progress</u> <u>or</u> <u>growth</u> has there been in building capacity...

- Relative to <u>program</u> <u>goals</u>?

Since NIE specified only broad program goals, each project can be evaluated only in terms of these broad goals. The emphasis will be on indicating whether project objectives address each of the NIE program

goals and whether progress or growth on project objectives (relative to NIE program goals) is occurring. The NIE goals concentrate on

> "...the leadership and service capability to provide information and technical assistance in the solution of problems identified by the dissemination agency or its clientele. This comprehensive capacity requires:
> (a) a full range of resources including data, documents, products, and technical expertise;
> (b) means of linking the client group to the resource base;
> (c) leadership and management arrangements which facilitate provision of services on any problem to all members of the client group."[3]

The answer to this question will be comprised of two parts. First, each project's objectives will be examined in relation to the broad NIE program goals. Second, progress or growth on project objectives relative to program goals will be examined. The two-part answer to this question will be presented in the first-year evaluation report.

- Relative to <u>project</u> objectives?

Each project differs in the degree of specificity of their project objectives and five year plan. Five year plans, quarterly reports, and funding proposals from each project will be examined and achieved project objectives will be compared with those which were planned. Where necessary, follow-up questions will be asked of the project director to clarify project status relative to stated objectives. A description of the correspondence of project status to stated objectives will be included in the first-year evaluation report.

- Relative to a "<u>baseline</u>" or <u>other previous measure</u> within the SEA or State?

---

[3] <u>Program Description</u>. State Dissemination Grants Program, FY 1976. <u>NIE-PA-76-1</u>, p. 11.

Baseline information as used here is defined as information which describes the status of dissemination capacity within each state during the first year of original State Capacity Building Grant award using measures developed by NTS. Baseline information should be available from each of the new Cohort III states and progress relative to these baselines will be evaluated in future years. Previous measures of performance on many of the variables of interest are available from the first two cohorts of states and will be used where possible. Growth relative to "baseline" or previous measures will be described for each project in the first-year evaluation report.

- Relative to a comprehensive state dissemination plan, if applicable?

Evaluation Question A1a above analyzes intentions or plans regarding building dissemination capacity. This subquestion will look at the progress relative to these intentions, or at what elements are actualized.

For each of the four subparts to Evaluation Question A1b, there will be data collection and analysis at the project level and at the SEA level where it is coterminus with the project. Information in extant documentation regarding SEA or State levels will be assembled where available, although these levels are not a priority this year and specific analyses are not planned.

Analysis and Reporting for Evaluation Question A1

The data necessary to address the above question and subparts will be collected from the sources of information listed in Table 1 at the end of this section. Such data are qualitative in nature and require logical, content-oriented analyses. Thus, reporting is primarily narrative in nature and will build upon the work NTS prepared in 1977 in Chapter II

"Comparisons and Contrasts," Nine State Reports (Madey, D. L., Mojkowski, C., and Strang, E.W.). In addition, an attempt will be made to summarize descriptive information in tabular form where possible.

EQA2: What knowledge can be generated concerning service capacity?

A2a. What are the chief contextual elements within service capacity which characterize and differentiate projects?

A2b. What are the chief system characteristics within service capacity which characterize and differentiate projects?

A2f. What are the chief output variables within service capacity that characterize and differentiate projects?

These similarly stated subquestions refer to A2a, A2b, and A2f respectively in Figure 1. In year 1, data collection and analysis will occur at the project level, and at the SEA level where both the SEA dissemination effort and the State Capacity Building project are coterminus. Table 2, at the end of this section, provides a listing of variables which have been generated to address this question and subquestions for the study domains of leadership/management, information resources, linkages, and clients.

Analysis and Reporting for Evaluation Question A2

Many of the variables included in Table 2 are tapped by open-ended instrument items. These will require descriptive, logical analyses similar to those in Evaluation Question A1 above. Close-ended items will allow for more statistical reporting, but still are essentially descriptive in nature. Reporting in the first year will include not only where each individual project is with respect to service capacity but also what similarities and differences exist among projects in their service capacity. This does not mean that project A will be compared with project B but rather that differences and similarities among projects in building their service capacity will be described. For example, certain project objectives may be fairly easy to achieve once certain

preconditions are in evidence. Similarly, identical problem areas may exist in some projects. The first-year descriptive information will be reported in the first-year evaluation report.

EQA3: What knowledge can be generated concerning user capacity?

A3B. What knowledge can be generated concerning actual clientele?

(1) Who are the actual users of the service capacity of the project?

(2) What are the actual service capacity needs as expressed in requests of the project?

(3) To what extent are the clients satisfied with the dissemination services provided by the project?

(4) In what ways are the services utilized which are provided by the project?

Although the user capacity component is the focus of extensive design work during year 1, some preliminary client data will be collected during the first year. The data collected should be viewed as programmatically useful information obtained while more extensive design work is in progress. The Client Assessment Package, a set of instruments developed by NTS in collaboration with the states, will be used to collect programmatically useful information from those states who volunteer to use the package. Seven subdomains of variables are tapped by the Client Assessment Package: individual user characteristics, user organizational characteristics, client satisfaction, and service utilization. These variables are listed in Table 3, at the end of this section. The sub-questions presented for user capacity may change as knowledge and understanding of user capacity develops.

Analysis and Reporting for Evaluation Question A3

Data collected during the pilot phase is at the project level, and must be viewed as tentative in nature. Descriptive summary information which is programmatically useful across all volunteer states will be provided in the first-year evaluation report. Where possible and warranted, individual state summaries will be provided to respective states.

B. IS THE STATE CAPACITY BUILDING PROGRAM HAVING AN EFFECT? IF SO, WHAT IS THE NATURE OF THE EFFECT?

EQB1. What effects are the projects having?

B1a. What impact is each project having on. . .

- SEA education dissemination efforts?
- State dissemination efforts? (other education dissemination efforts in the states?)

B1b. What are the similarities and differences across projects in terms of these impacts?

In the first year, the evaluation study will examine what impact the project has had up to now on the SEA dissemination system. Both intended and unintended outcomes will be reported. This question will also be addressed in each additional year of the evaluation. Not only are individual profiles to be developed, but analysis is also to be undertaken to see if there are any commonalities in impact across the funded projects. Data sources for this question are of two types. First, the information sets collected to address major Evaluation Question A (previously discussed) also have implications for assessing project effects (major Evaluation Question B). Specifically, project stature variables, coordination of information resources, and coordination of linkage services will be among those examined with respect to this question. Many of the reports or documents mentioned in Table 1 also are pertinent. Second, open-ended questions addressed to key personnel within the SEA and others will provide vital perspectives for assessing project impact. In subsequent years, more closed-ended instruments are planned.

EQB2. Is dissemination capacity being institutionalized so that it can continue to function without external stimulus?

The focus on this question is not on the institutionalization of dissemination functions of the project per se, but rather on the institutionalization of dissemination functions within the SEA. Limited data collection and analysis will occur initially concerning this question.

During year 1, this question will be directly addressed by the variable set of visibility of dissemination on functions under the subdomain of leadership/management in service capacity (please refer to Table 2 at the end of this section). This variable set captures movement toward increased visability and incorporation of dissemination functions, increased commitment of the project staff and relevant SEA officials to dissemination functions, and changes in project management functions. In addition, patterns of funding levels in the various project components, project stature within the SEA and the state, and the utilization by the project of system intelligence should contribute information about institutionalization of each project. This limited data collection should drive or assist in concomitant design work on institutionalization.

EQB3. What effects are related to the Federal role?

B3a. What is the impact of different elements of the NIE program design and management on capacity building and institutionalization?

B3b. What are the changes that should be made to facilitate the building and institutionalization of state capacity?

There will be data collection and analysis in year 1 to address both questions, with any recommended changes viewed as tentative in nature. Variables have been generated in three subdomains to describe the NIE program design and management. These variables are listed in Table 4 at the end of this section. Briefly, the subdomains are program management, monitor influence, and federal context. Program management refers to program expectations (e.g. grant renewal criteria, funding policies) and management style (e.g. type of communication patterns, pattern of decision making). Monitor influence refers to monitor involvement and scope of influence. Federal context refers to the political context and administrative support for the Program. Federal context limits (i.e. guides, shapes, constrains) program management and monitor influence.

Analysis and Reporting for Evaluation Questions B1, B2 and B3

Data analysis on these three evaluation questions is highly qualitative and descriptive in nature during year 1. Reporting will be in narrative format with tabular summaries utilized whenever feasible. Results will be reported in the first-year evaluation report. The data collection and analysis efforts for year 1 are summarized in Table 5 at the end of this section.

TABLE 1 ADDITIONAL DATA SOURCES FOR EVALUATION QUESTION A1.

1. Grant Proposals
2. Interim (Quarterly) Reports
3. Comprehensive State Dissemination Plans
4. Five Year Plans
5. State Abstracts
6. Other pertinent documents identified by SCBP Project Directors

In several instances these are generic names or terms; actual document names vary across States.

Table 2 VARIABLES IN SERVICE CAPACITY

CONTEXTUAL

	PROJECT	SEA	STATE
Leadership/Management	Dissemination experience of project staff Project director management expertise	Number of SEA professionals SEA relationship to other dissemination efforts in state Dissemination record Special funding record SCDP origin Complexity of SEA SEA decision making Formalization of SEA Flexibility of SEA Relationship of SEA to LEAs	Selection method of CSSO Selection method of State Board of Education
Information Resources		Information resources available prior to project Distribution of resources prior to project Funding of resources prior to project	
Linkages	Experience of linkers Education of linkers Content knowledge of linkers Training	Experience of linkers Education of linkers Content knowledge of linkers Type/number of ISAs Training	Experience of linkers Education of linkers Content knowledge of linkers Type/number of ISAs Training
Clients		Previous clientele	Public school professional staff Number of LEAs Number of schools Number of students
Other			Population ranking Size ranking Educational support Regional location Total expenditures for education

Table 2 (Continued) VARIABLES IN SERVICE CAPACITY

SYSTEM CHARACTERISTICS

	PROJECT	SEA	STATE
Leadership/Management	Advisory Board Developmental model Funding amount Sources of funding Distribution of funding Number of professionals Project Director role Project Director tenure Needs sensing mechanisms Client satisfaction assessment mechanisms Client utilization Formative evaluation assessment mechanisms Project planning Documentation Training Needs sensing feedback usage Client satisfaction feedback usage Client utilization feedback usage Formative evaluation feedback usage	Location of project by level within SEA Location of project by SEA division Relationship of project to SEA dissemination effort Funding amount Sources of funding Distribution of funding	Funding amount Sources of funding Distribution of funding Relationship of project to state dissemination effort
Information Resources	Information resources available Quality control mechanisms Quality control utilization Funding Staffing Service costs Development/coordination focus Automation Access Distribution/centralization Coordination of resource base Inventory of information resources	Information resources available Quality control mechanisms Quality control utilization Funding Staffing Service costs Development/coordination focus Automation Access Distribution/centralization Coordination of resource base Inventory of information resources	Information resources available Quality control mechanisms Quality control utilization Funding Staffing Service costs Development/coordination focus Automation Access Distribution/centralization Coordination of resource base Inventory of information resources

Table 2 (Continued) VARIABLES IN SERVICE CAPACITY

	PROJECT	SEA	STATE
SYSTEM CHARACTERISTICS			
Linkages	Funding of linkers Number of linkers Linker echelons Locus of control Variety of linkage mechanisms Role definition Question negotiation Training Personalization Coordination processes for linkages	Funding of linkers Number of linkers Linker echelons Locus of control Variety of linkages mechanisms Role definition Personalization Coordination processes for linkagen	Funding of linkers Number of linkers Linker echelons Locus of control Variety of linkage mechanisms Role definition Personalization Coordination processes for linkages
Clients	Intended client audience Current target audience	Intended client audience Current target audience	Intended client audience Current target audience
OUTPUTS			
Leadership/Management	Visability of dissemination functions Developmental status	Visability of dissemination functions Developmental status	Visability of dissemination functions Developmental status
Information Resources	Knowledge of coordinated resource base Packaging Response characteristics Delivery mode Transformation Turn-around time	Knowledge of coordinated resource base Packaging Delivery mode Transformation Turn-around time	Knowledge of coordinated resource base Packaging Delivery mode Transformation Turn-around time
Linkages	Knowledge of coordinated linkages Focus of linker services Follow-up assistance Satisfaction of Clients Utilization by clients	Knowledge of coordinated linkages Focus of linker services	Knowledge of coordinated linkages Focus of linker services
Clients	Actual client audience		

Table 3 VARIABLES IN THE CLIENT ASSESSMENT PACKAGE

Individual Characteristics	Linker Characteristics	Process Characteristics
Position	Position	Information Range Searched
Experience	Educational Level	Type/Amount of Information Provided
Education	Experience	Intensity of Personal Assistance
Repeat User	Content Knowledge	Type of Personal Assistance
Social Integration	Role Functioning	Client Awareness
Professionalism		Client Contacts
Innovative Propensity		Client Follow-up
		Problem Sufficiency
		Problem Negotiation
		Problem Repeat
		Linker/Client Demographic Match
		Linker Content Knowledge/Request Content Area Match
Organizational Context for Individual Making Request	**Client Satisfaction**	
Innovative Propensity	Usefulness	
Locus of Decision making	Relevancy	
Administrative support	Novelty	**Service Utilization**
Location	Completeness	
	Timeliness	Subjective Usage
	Material Review	Levels of Use
Request Characteristics	Need	
	Linker Input	
Problem	Recommendation of service	
Content Area	Reuse of Services	
Grade Level	Overall Rating	
Time Span		
Need Context		
Purpose		
Urgency		
Intended User		

Table 4 ELEMENTS OF NIE PROGRAM DESIGN & MANAGEMENT

FEDERAL CONTEXT	Political Context Legislative Mandates Special Interest Group Support	Administrative Support Program Priority Funding Levels Organizational Level Staff Stability Monitor Background Reporting Requirements
PROGRAM MANAGEMENT	Program Expectations Perceptions of NIE Staff Perceptions of Project Staff Intent Conveyed by Grant Announcements Funding Policies Renewal Criteria NIE's Perceptions of SEA's Constraints	Management Style Communication Pattern Imposed or Consensual Decisions
MONITOR INFLUENCE	Monitor Involvement Site Visits Work Load Monitor Knowledge of Individual Projects	Scope of Influence Project Shaping by Monitors Project Perceptions of Monitor's Role Self-perceptions of Role

TABLE 5 DATA COLLECTION AND ANALYSIS ACTIVITIES FOR YEAR 1

EVALUATION QUESTIONS	LEVEL FOR YEAR 1 (1978)
A. IS DISSEMINATION CAPACITY BEING BUILT? IF SO, HOW?	
1. What knowledge can be generated regarding the origins, objectives and plans of the capacity building projects?	
a. What are the similarities and differences within and across States in ...	Project & SEA
• Project plans?	
• Comprehensive state dissemination plans?	
b. How much progress or growth has there been in building capacity	Project
• Relative to NIE program goals?	
• Relative to project objectives?	
• Relative to a baseline or other previous measure?	
• Relative to comprehensive state dissemination plan, if applicable?	
2. What knowledge can be generated concerning service capacity?	
a. What are the chief contextual elements within service capacity which characterize and differentiate projects? SEAs? States?	Project
b. What are the chief system characteristics within service capacity which characterize and differentiate projects? SEAs? States?	Project
c. Into what limited number of types can projects/SEAs/States be clustered on the basis of identified contextual elements within service capacity?	
d. Into what limited number of types can projects/SEAs/States be clustered on the basis of identified system characteristics within service capacity?	
e. On the basis of identified contextual clusters and identified system characteristics clusters, what meaningful models can be derived?	
f. What are the chief output variables within service capacity that characterize and differentiate projects? SEAs? States? Models?	Project

TABLE 5 (Continued) DATA COLLECTION AND ANALYSIS ACTIVITIES FOR YEAR 1

	LEVEL FOR YEAR 1 (1978
3. What knowledge can be generated concerning user capacity?	
a. What knowledge can be generated concerning potential client capacity?	
(1) Who are the potential clients? (note possible differences between total potential clientele and a more limited clientele that is targeted or designated for a specific purpose or time period.)	
(2) What are the perceptions of potential clients regarding service needs?	
(3) To what extent are potential clients aware of the service capacity of the project? SEA? States?	
(4) To what extent are potential clients knowledgeable of how to access/utilize the service capacity of the project? SEA? State?	
b. What knowledge can be generated concerning actual clientele?	Project[1]
(1) Who are the actual users of the service capacity of the project? SEA? State?	
(2) What are the actual service capacity needs as expressed in requests of the project? SEA? State?	
(3) To what extent are the clients satisfied with the dissemination services provided by the project? SEA? State?	
(4) In what ways are the services utilized which are provided by the project? SEA? State?	
c. What are the quantitative and qualitative relationships of actual clientele to potential clientele.	
4. How good a match is there between service capacity and user capacity?	
a. What are the relationships between service capacity and user capacity?	
b. To what extent are changes in service capacity and user capacity accommodated by changes in the other?	
B. IS THE STATE CAPACITY BUILDING PROGRAM HAVING AN EFFECT? IF SO, WHAT IS THE NATURE OF THE EFFECT?	
1. What effects are the projects having?	Project

[1]Collected only by those projects utilizing the Client Assessment Package

TABLE 5 (Continued) DATA COLLECTION AND ANALYSIS ACTIVITIES FOR YEAR 1

	LEVEL FOR YEAR 1 (1978)
a. What impact is each project having on ...	
• SEA education dissemination efforts?	
• State dissemination efforts? (other education dissemination efforts in the state?)	
b. What are the similarities and differences across projects in terms of these impacts?	
2. Is dissemination capacity being institutionalized so that it can continue to function without external stimulus?	
3. What effects are related to the Federal role?	Project
a. What is the impact of different elements of the NIE program design and management on capacity building and institutionalization?	
b. What are the changes that should be made to facilitate the building and institutionalization of state capacity?	

V. DESIGN WORK DURING YEAR 1

Concurrent with and subsequent to data collection and analysis, design work in several areas is proposed during year 1. Such design work is essentially two-fold. First, there is the extension of the evaluation questions already discussed to additional levels; i.e. Evaluation Question A2b changes in focus from:

> What are the chief system characteristics within service capacity which characterize and differentiate projects?

to:

> What are the chief system characteristics within service capacity which characterize and differentiate SEAs?

Second, there is the delineation of new evaluation questions, variables, instrumentation, and analysis procedures on important areas. For example, potential clientele (part of *user capacity* in Figure 1) entails a new area on which design work will occur in year 1, with data collection and analysis in subsequent years.

Each evaluation area and question will be presented in order in this section; then a summary table will be presented which provides a quick overview of proposed design work.

A. IS DISSEMINATION CAPACITY BEING BUILT? IF SO, HOW?

EQA1. What knowledge can be generated regarding the origins, objectives and plans of the capacity building projects?

A1a. What are the similarities and differences within and across states in. . .

- Project plans?
- Comprehensive State dissemination plans?

A1b. How much progress or growth has there been in building capacity. . .

- Relative to NIE program goals?
- Relative to project objectives?

- Relative to a baseline or other previous measure?
- Relative to a comprehensive State dissemination plan, if applicable?

Evaluation Question A1 is considered fully delineated at this point; efforts in future years require an extension to additional levels, the first design type. Data collection and analysis for Evaluation Question A1a remain the same during the second evaluation year; therefore no design work on this question is envisioned during year 1. On Question A1b, the information assembled from available documents regarding the SEA level will lead to a design for their inclusion in the reporting for year 2. A thorough delineation of such design work will be included in the first-year design report.

EQA2. What knowledge can be generated concerning service capacity?

A2a. What are the chief contextual elements within service capacity which characterize and differentiate SEAs?

A2b. What are the chief system characteristics within service capacity which characterize and differentiate SEAs?

A2f. What are the chief output variables within service capacity that characterize and differentiate SEAs?

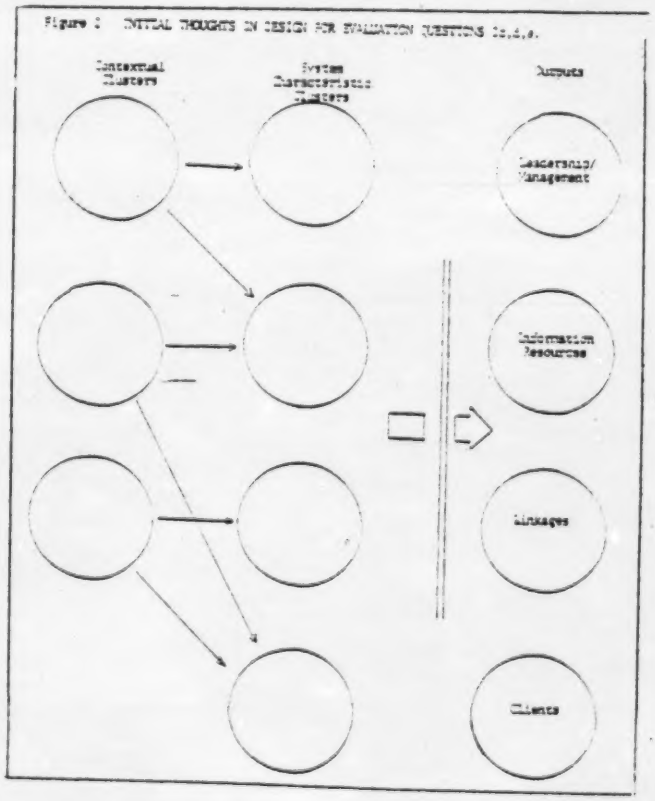
For all three evaluation questions, design work for year 1 is of the first type (i.e. the extension of the evaluation questions to additional levels). The extended focus from the individual projects to the SEA level is indicated in the above wording of the questions. It is envisioned that the results from year 1 will lead to a tightening of instrumentation and procedures; that is, many closed-ended items will be generated based upon open-ended responses. Variables sets will have either additions and/or deletions based upon year 1 results.

A2c. Into what limited number of types can projects be clustered on the basis of identified contextual elements within service capacity?

A2d. Into what limited number of types can projects be clustered on the basis of identified system characteristics within service capacity?

A2e. On the basis of identified contextual clusters and identified system characteristics clusters, what meaningful models can be derived?

These three questions will involve new data collection and analysis activities during year 2. Design work will be based upon empirical results from year 1 data collection efforts. It is envisioned that a limited number of types will emerge based upon clustering contextual and system characteristic variables. The interrelationships of these clusters then define models of capacity building. Figure 2 provides a pictorial representation of initial thoughts on the clustering and modeling. This figure is essentially an expansion on elements of Figure 1. Also implicit in Figure 2 is the intention of eventually tying these models to output variables in each of the four domains of leadership/management, information resources, linkages, and clients.



Design work accomplished on Evaluation Question A2 will be included in the first-year design report and will drive data collection and analysis in year 2.

EQA3. What knowledge can be generated concerning user capacity?

A3b. What knowledge can be generated concerning actual clientele?

(1) Who are the actual users of the service capacity of the project? SEA? State?

(2) What are the actual service capacity needs as expressed in requests of the project? SEA? State?

(3) To what extent are the clients satisfied with the dissemination services provided by the project? SEA? State?

(4) In what ways are the services utilized which are provided by the project? SEA? State?

The preliminary data and resultant analysis from the pilot of the Client Assessment Package, a set of instruments developed by NTS in collaboration with the states, will be utilized to further design work concerning actual clientele. Such efforts will concern both the project and SEA levels, so that data collection and analysis will occur at both these levels during year 2.

A3a. What knowledge can be generated concerning potential client capacity?

(1) Who are the potential clients? (note possible differences between total potential clientele and a more limited clientele that is targeted or designated for a specific purpose or time period.)

(2) What are the perceptions of potential clients regarding service needs?

(3) To what extent are potential clients aware of the service capacity of the project? SEA? States?

(4) To what extent are potential clients knowledgeable of how to access/utilize the service capacity of the project? SEA? State?

The area of potential client capacity requires complete design work during year 1. The above evaluation questions are proffered tentatively as an initial step in such design efforts. It is anticipated that the

results from the pilot experience concerning actual clientele will be vital, as will be State, Advisory Council, and NIE input, toward designing questions, variables, and instrumentation in the area of potential user capacity. The level of design work will be at the project level during year 1.

EQA4. How good a match is there between service capacity and user capacity?

A4a. What are the relationships between service capacity and user capacity?

A4b. To what extent are changes in service capacity and user capacity accommodated by changes in the other?

Although empirical results from Evaluation Questions A2 and A3 above are necessary precursors to thorough design work, preliminary efforts will take place during year 1. These efforts will then extend into future years, with actual data collection and analysis envisioned in year 3.

B. IS THE STATE CAPACITY BUILDING PROGRAM HAVING AN EFFECT? IF SO, WHAT IS THE NATURE OF THE EFFECT?

EQB1. What <u>effects</u> are the projects having?

B1a. What impact is each project having on. . .

- SEA education dissemination efforts?
- State dissemination efforts? (other education dissemination efforts in the state?)

B1b. What are the similarities and differences across projects in terms of these impacts?

Design work will occur at the State level in year 1, with data collection and analysis in year 2 and 3. Thus, the work during year 1 is merely the extension to additional levels.

EQB2. Is dissemination capacity being institutionalized so that it can continue to function without external stimulus?

The limited data collection during year 1 will assist in further explicating the institutionalization of dissemination capacity. This design work is primarily at the SEA level during the first year.

EQB3. What effects are related to the Federal role?

B3a. What is the impact of different elements of the NIE program design and management on capacity building and institutionalization?

B3b. Are there changes that should be made to facilitate the building and institutionalization of state capacity?

The evaluation question is essentially delineated fully at this point. However, the tentative suggestions for change in Evaluation Question 3b at the end of year 1 will be analyzed as to their feasibility and perceived fruitfulness. Any requisite design work will focus on the SEA level.

Report for First-Year Design Work

The first-year design work report will include all new proposed evaluation questions, variable sets, instruments, and analysis procedures generated during year 1. In addition, procedures of data collection and analysis from year 1 will be included so that the final design report will describe and detail complete procedures for utilization in year 2. Table 6 provides a summary of design work during year 1.

TABLE 6 DESIGN ACTIVITIES FOR YEAR 1

EVALUATION QUESTIONS	LEVEL FOR YEAR 1 (1978)
A. IS DISSEMINATION CAPACITY BEING BUILT? IF SO, HOW?	
1. What knowledge can be generated regarding the origins, objectives and plans of the capacity building projects?	
a. What are the similarities and differences within and across States in ...	
• Project plans?	
• Comprehensive state dissemination plans?	
b. How much progress or growth has there been in building capacity ...	SEA
• Relative to NIE program goals?	
• Relative to project objectives?	
• Relative to a baseline or other previous measure?	
• Relative to comprehensive state dissemination plan, if applicable?	
2. What knowledge can be generated concerning service capacity?	
a. What are the chief contextual elements within service capacity which characterize and differentiate projects? SEAs? States?	SEA
b. What are the chief system characteristics within service capacity which characterize and differentiate projects? SEAs? States?	SEA
c. Into what limited number of types can projects/SEAs/States be clustered on the basis of identified contextual elements within service capacity?	Project
d. Into what limited number of types can projects/SEAs/States be clustered on the basis of identified system characteristics within service capacity?	Project
e. On the basis of identified contextual clusters and identified system characteristics clusters, what meaningful models can be derived?	Project
f. What are the chief output variables within service capacity that characterize and differentiate projects? SEAs? States? Models?	SEA

TABLE 6 (Continued) DESIGN ACTIVITIES FOR YEAR 1

EVALUATION QUESTIONS

	LEVEL FOR YEAR 1 (1978)
3. What knowledge can be generated concerning user capacity?	
a. What knowledge can be generated concerning potential client capacity?	Project
(1) Who are the potential clients? (note possible differences between total potential clientele and a more limited clientele that is targeted or designated for a specific purpose or time period.)	
(2) What are the perceptions of potential clients regarding service needs?	
(3) To what extent are potential clients aware of the service capacity of the project? SEA? States?	
(4) To what extent are potential clients knowledgeable of how to access/utilize the service capacity of the project? SEA? State?	
b. What knowledge can be generated concerning actual clientele?	Project & SEA
(1) Who are the actual users of the service capacity of the project? SEA? State?	
(2) What are the actual service capacity needs as expressed in requests of the project? SEA? State?	
(3) To what extent are the clients satisfied with the dissemination services provided by the project? SEA? State?	
(4) In what ways are the services utilized which are provided by the project? SEA? State?	
c. What are the quantitative and qualitative relationships of actual clientele to potential clientele.	Project
4. How good a match is there between service capacity and user capacity?	Project
a. What are the relationships between service capacity and user capacity?	
b. To what extent are changes in service capacity and user capacity accommodated by changes in the other?	
B. IS THE STATE CAPACITY BUILDING PROGRAM HAVING AN EFFECT? IF SO, WHAT IS THE NATURE OF THE EFFECT?	
1. What effects are the projects having?	SEA & State

TABLE 6 (Continued) DESIGN ACTIVITIES FOR YEAR 1

EVALUATION QUESTIONS	LEVEL FOR YEAR 1 (1978)
a. What impact is each project having on...	
• SEA dissemination efforts in education?	
• State dissemination efforts? (other education dissemination efforts in the state)	
b. What are the similarities and differences across projects in terms of these impacts?	
2. Is dissemination capacity being institutionalized so that it can continue to function without external stimulus?	SEA
3. What effects are related to the Federal role?	
a. What is the impact of different elements of the NIE program design and management on capacity building and institutionalization?	SEA
b. Are there changes that should be made to facilitate the building and institutionalization of state capacity?	

VI. EVALUATION OVERVIEW

The previous two sections have outlined evaluation activities which will occur during year 1. There will be a logical progression of both design work and data collection and analysis procedures during the remainder of the evaluation effort. Data collection and analysis procedures from a given year will in most instances be repeated, with any necessary modifications, during subsequent years. Design work completed in a given year will then drive additional data collection and analysis efforts for subsequent years. Thus the level of focus (project, SEA, State) will broaden each year, and the comprehensiveness of evaluative areas will increase each year. The flow is such that the entire evaluation effort will follow, and capture, State Capacity Building development.

The complete evaluation effort is outlined in Table 7. This table incorporates those elements of design and data collection activities of year 1, and builds upon them for subsequent years. The proposed activities in year 2 and after are subject to revision based upon each year's experiences and/or evaluative needs of States and NIE. Design work for year 3 is not detailed at this point, but will be explicated in the year 2 design report.

Table 7

OVERVIEW OF STATE CAPACITY BUILDING EVALUATION QUESTIONS AND ACTIVITIES

EVALUATION QUESTIONS	ACTIVITY	DATA COLLECTION AND ANALYSIS				DESIGN WORK[1]		
	TIME PERIOD	YEAR 1 (1978)	YEAR 2 (1979)	YEAR 3 (1980)	YEAR 4 (1981)	YEAR 1 (1978)	YEAR 2 (1979)	YEAR 3 (1980)
	LEVEL							
A. IS DISSEMINATION CAPACITY BEING BUILT? IF SO, HOW?								
1. What knowledge can be generated regarding the origins, objectives and plans of the capacity building projects?								
a. What are the similarities and differences within and across States in . . .								
• Project plans?		Project & SEA	Project & SEA	Project, SEA & State	Project SEA & State		State	
• Comprehensive state dissemination plans?								
b. How much progress or growth has there been in building capacity . . .								
• Relative to NIE program goals?		Project	Project & SEA	Project SEA & State	Project SEA & State	SEA	State	
• Relative to project objectives?								
• Relative to a baseline or other previous measure?								
• Relative to comprehensive state dissemination plan, if applicable?								
2. What knowledge can be generated concerning service capacity?								
a. What are the chief contextual elements within service capacity which characterize and differentiate projects? SEAs? States?		Projec:	SEA	State		SEA	State	
b. What are the chief system characteristics within service capacity which characterize and differentiate projects? SEAs? States?		Project	SEA	State		SEA	State	
c. Into what limited number of types can projects/SEAs/States be clustered on the basis of identified contextual elements within service capacity?			Project	SEA	State	Project	SEA	State

[1] Drives data collection and analysis in subsequent years

Table 7
(Continued)

STATE CAPACITY BUILDING

EVALUATION QUESTIONS AND ACTIVITIES

ACTIVITY	DATA COLLECTION AND ANALYSIS				DESIGN WORK[1]		
TIME PERIOD	YEAR 1 (1978)	YEAR 2 (1979)	YEAR 3 (1980)	YEAR 4 (1981)	YEAR 1 (1978)	YEAR 2 (1979)	YEAR 3 (1980)
LEVEL							
d. Into what limited number of types can projects/SEAs/States be clustered on the basis of identified system characteristics within service capacity?		Project	SEA	State	Project	SEA	State
e. On the basis of identified contextual clusters and identified system characteristics clusters, what meaningful models can be derived?		Project	SEA	State	Project	SEA	State
f. What are the chief output variables within service capacity that characterize and differentiate projects? SEAs? States? Models?	Project	SEA	State	Models	SEA	State	Models
3. What knowledge can be generated concerning user capacity?							
a. What knowledge can be generated concerning potential client capacity?		Project	SEA	State	Project	SEA	State
(1) Who are the potential clients? (note possible differences between total potential clientele and a more limited clientele that is targeted or designated for a specific purpose or time period.)							
(2) What are the perceptions of potential clients regarding service needs?							
(3) To what extent are potential clients aware of the service capacity of the project? SEA? States?							
(4) To what extent are potential clients knowledgeable of how to access/utilize the service capacity of the project? SEA? State?							
b. What knowledge can be generated concerning actual clientele?	Project[2]	Project & SEA	State	State	Project & SEA	State	
(1) Who are the actual users of the service capacity of the project? SEA? State?							
(2) What are the actual service capacity needs as expressed in requests of the project? SEA? State?							

[2] Only collected those projects utilizing the Client Assessment Package

[1] Drives data collection and analysis in subsequent years

Table 7
(Continued)

OVERVIEW OF
STATE CAPACITY BUILDING
EVALUATION QUESTIONS AND ACTIVITIES

ACTIVITY	DATA COLLECTION AND ANALYSIS				DESIGN WORK[1]		
TIME PERIOD	YEAR 1 (1978)	YEAR 2 (1979)	YEAR 3 (1980)	YEAR 4 (1981)	YEAR 1 (1979)	YEAR 2 (1979)	YEAR 3 (1980)
LEVEL							
(3) To what extent are the clients satisfied with the dissemination services provided by the project? SEA? State?							
(4) In what ways are the services utilized which are provided by the project? SEA? State?							
c. What are the quantitative and qualitative relationships of actual clientele to potential clientele.		Project	SEA	State	Project	SEA	State
4. How good a match is there between service capacity and user capacity?		Project	SEA	State	Project	SEA	State
a. What are the relationships between service capacity and user capacity?							
b. To what extent are changes in service capacity and user capacity accommodated by changes in the other?							
B. IS THE STATE CAPACITY BUILDING PROGRAM HAVING AN EFFECT? IF SO, WHAT IS THE NATURE OF THE EFFECT?							
1. What effects are the projects having?	Project	SEA	SEA & State		SEA & State	State	
a. What impact is each project having on... • SEA education dissemination efforts? • State dissemination efforts? (other education dissemination efforts in the state?)							
b. What are the similarities and differences across projects in terms of these impacts?							
2. Is dissemination capacity being institutionalized so that it can continue to function without external stimulus?		SEA	SEA & State	State	SEA	State	
3. What effects are related to the Federal role?	Project	SEA			SEA		
a. What is the impact of different elements of the NIE program design and management on capacity building and institutionalization?							
b. Are there changes that should be made to facilitate the building and institutionalization of state capacity?							

[1] Drives data collection and analysis in subsequent years

REFERENCES

Haenn, Joseph F.; Madey, Doren L.; Everett, Michael; and Strang, Ernest W., Request for OMB Clearance with Supporting Documents for the Evaluation of the State Capacity Building Program in Dissemination. Durham, N.C.: NTS Research Corporation, (forthcoming).

Madey, Doren L.; Haenn, Joseph F.; Everett, Michael; and Strang, Ernest W., A Conceptual Framework for the Evaluation of the State Capacity Building Program, Durham, N.C.: NTS Research Corporation, December, 1977.

Madey, Doren L.; Stenner, A. Jackson; Strang, Ernest W.; and Engler, Richard K., Final Design Report for the Evaluation of the State Capacity Building Program in Dissemination, Durham, N.C.: NTS Research Corporation, July 1977.

Madey, Doren L.; Stenner, A. Jackson; and Engler, Richard K., Preliminary Design Report for the Evaluation of the State Capacity Building Program in Dissemination, Durham, N.C.: NTS Research Corporation, March 1977.

Madey, Doren L.; Mojkowski, Charles; and Strang, Ernest W., 1977 State Abstracts, Durham, N.C.: NTS Research Corporation, September 1977.

Madey, Doren L.; Mojkowski, Charles; and Strang, Ernest W., State Reports, Durham, N.C.: NTS Research Corporation, July 1977.

Scriven, Michael, "Evaluation Perspectives and Procedures," in Popham, W. James (Ed.), Evaluation in Education. American Educational Research Association, 1974, 3-93.

Stenner, A. Jackson, An Overview of Information Based Evaluation: A Design Procedure, Information Based Evaluation Series, Book 1. North Carolina: IBEX, Incorporated, 1974.

Strang, Ernest W., Building Capacity in Dissemination: Literature Review, Durham, N.C.: NTS Research Corporation, 1977.

Stufflebeam, Daniel L., "Alternative Approach to Educational Evaluation: A Self-Study Guide for Educators," in Popham, W. James (Ed.), Evaluation in Education, American Research Association, 1974, 95-144.

NTS is a private research and evaluation corporation working to improve education throughout the country. NTS performs contract work for federal, state, and local government agencies. The company also conducts independent programs and research, funded through government and foundation contracts and corporate contributions. In addition, NTS provides test scoring, large scale data reduction, and analysis for local schools and private corporations. The company develops and markets tests for worldwide distribution. Since its founding in 1970, NTS has successfully conducted over 100 major research and evaluation contracts. Annual sales volume exceeds $2 million. NTS is directed by a three member executive board. The corporate offices are located in Durham, North Carolina, near the Research Triangle Park. These offices support field staff members throughout the country.